



## Goddard Procedural Requirements (GPR)

**DIRECTIVE NO.** GPR 3410.4

**EFFECTIVE DATE:** July 11, 2008

**EXPIRATION DATE:** July 11, 2013

**APPROVED BY Signature:** Original signed by

**NAME:** Arthur F. Obenschain

**TITLE:** Acting Director

**COMPLIANCE IS MANDATORY**

---

**Responsible Office:** 110/Office of Human Capital Management

**Title:** Required and Mandatory Training including Consequences for Non-Completion

---

### PREFACE

#### P.1 PURPOSE

This Directive identifies the sources of required and/or mandatory training, establishes the process and procedure for obtaining a waiver to specific required and/or mandatory training, and details the consequences for failure to complete required and/or mandatory training.

#### P.2 APPLICABILITY

This Procedure is applicable to all GSFC civil servants. It applies to on-site contract employees to the extent specified in their contract.

#### P.3 AUTHORITY

42 USC 2473 National Aeronautics and Space Act of 1958 as amended  
5 USC at 4101 et seq., Government Employees Training Act  
NPD 3410.2 Employee and Organizational Development  
5 CFR Part 41 Training

#### P.4 REFERENCES

None.

#### P.5 CANCELLATION

None.

#### P.6 SAFETY

None.

#### P.7 TRAINING



## Goddard Procedural Requirements (GPR)

**DIRECTIVE NO.** GPR 3410.4  
**EFFECTIVE DATE:** July 11, 2008  
**EXPIRATION DATE:** July 11, 2013

**APPROVED BY Signature:** Original signed by  
**NAME:** Arthur F. Obenschain  
**TITLE:** Acting Director

None.

### P.8 RECORDS

Record Title	Record Custodian	Retention
SATERN Training History	Center Training Officer	NRRS 3/33B. Destroyed when no longer needed or when 3 years old, whichever is sooner.
Original approved waivers of Center requirement (non- project specific requirements)	Organizations within the waiver scope	NSTTS 3/33D. Destroyed when 3 years old.

\*NRRS – NASA Records Retention Schedules ([NPR 1441.1](#))

### P.9 METRICS

Metrics for completion of required and mandatory training shall be provided to Center Management, functional/content owners and Administrative Officers by the Office of Human Capital Management on a monthly basis throughout the course offering time period and to other internal and external entities as requested to ensure compliance. Analysis may include and is not limited to waivers, deferments, and training attendance.

### P.10 DEFINITIONS

**Mandatory Training:** Mandatory Training is required for all employees Government-wide. This training is mandated by Executive Orders, Government-wide Directives, federal statute or regulation, in areas such as computer security awareness; ethics; or executive, managerial, and supervisory training. As such the Center may often have minimal authority in determining course content, structure or completion timeframes.

**Required Training:** Agency or Center specific training required by the Agency or Center and provided to NASA employees in order to achieve the goals and objectives of the Agency or Center as needed.

**Functional/Content Owners:** These are representatives for the Center organization with programmatic responsibility for particular required and/or mandatory training



## Goddard Procedural Requirements (GPR)

**DIRECTIVE NO.** GPR 3410.4

**EFFECTIVE DATE:** July 11, 2008

**EXPIRATION DATE:** July 11, 2013

**APPROVED BY Signature:** Original signed by

**NAME:** Arthur F. Obenschain

**TITLE:** Acting Director

instances (e.g., the Office of Chief Counsel is the Functional/Content owner for the annual Ethics training requirement).

**SATERN:** The Agency's electronic Learning Management System in which required and/or mandatory training is made available. On-line courses may be accessed and completed through SATERN, and instructor-led courses may be available for registration. In addition, SATERN is used to advertise and track required and/or mandatory training as appropriate.

### P.11 ACRONYMS

GSFC: Goddard Space Flight Center

OHCM: Office of Human Capital Management

SATERN: System for Administration, Training, and Education Resources at NASA

### PROCEDURES

In this document, a requirement is identified by "shall," a good practice by "should," permission by "may" or "can," expectation by "will," and descriptive material by "is."

#### 1.0 Required and/or Mandatory Training: Roles and Responsibilities

1.1 OHCM is responsible for overall oversight and compliance of all required and/or mandatory training requirements for GSFC. OHCM will work with functional owners to ensure all required and/or mandatory training is properly documented in SATERN. OHCM is also responsible for working with functional owners in approving and disapproving requests for waivers. OHCM shall work in conjunction with the functional/content owner to develop and deliver training materials; schedule all instructor-led training sessions; notify employees of their training requirements; ensure employees have access to register for training and/or on-line training materials; monitor training course attendance completion, and collect and report metrics.

1.2 The Center Training Officer from OHCM shall, with input from the Center Director and Functional/Content Owners as appropriate, identify required and/or mandatory training for employees. Training obligations for employees can stem from federal statute, other Federal Agency specifications, or NASA and/or Center stipulations. Training requirements may affect all employees



## Goddard Procedural Requirements (GPR)

**DIRECTIVE NO.** GPR 3410.4

**EFFECTIVE DATE:** July 11, 2008

**EXPIRATION DATE:** July 11, 2013

**APPROVED BY Signature:** Original signed by

**NAME:** Arthur F. Obenschain

**TITLE:** Acting Director

or a subset of the employee population. The Center Training Officer shall also ensure required and mandatory training is properly managed.

1.3 Functional owners have programmatic responsibility for mandatory and/or required training requirements for employees and shall ensure the course content meets required and/or mandatory training policy, statute, or regulation. Functional owners shall work with OHCM in:

- course development,
- determining the most appropriate training delivery method,
- in scheduling training sessions (as appropriate),
- monitoring attendance,
- notifying supervisors and employees,
- monitoring of training compliance and
- approving and disapproving requests for waivers.

1.4 The employee is responsible for completing all required and/or mandatory training requirements within the prescribed timeframe unless granted a waiver of deferment. It is the responsibility of the employee to notify the supervisor if he or she is unable to complete the training within the specified timeframe.

1.5 The supervisor is responsible for ensuring the employee is aware of training and completes all required and/or mandatory training requirements unless granted a waiver or deferment. The supervisor is responsible for submitting written requests for waivers prior to the deadline for completing training requirements.

### 2.0 Waivers and Deferments from Required and/or Mandatory Training

2.1 Requesting a Waiver or Deferment. A request for waiver or deferment shall be initiated by the employee and submitted to the supervisor within 5 business days of the training notification. The request shall be submitted in writing(email is acceptable) by the supervisor or his or her designee, routed to the employee's directorate office for approval by the Director of or his/her designee, and then forwarded to the Center Training Officer in the OHCM for approval within 5 business days of the employee's request. The Center Training Officer shall work with the Functional/Content Owner as applicable in approving or disapproving waivers and deferments and notify the employee and supervisor within 10 business days. Requests for waivers and deferments shall include the reason the employee is unable to complete the required and/or mandatory training and the proposed date for fulfilling the



## Goddard Procedural Requirements (GPR)

**DIRECTIVE NO.** GPR 3410.4

**EFFECTIVE DATE:** July 11, 2008

**EXPIRATION DATE:** July 11, 2013

**APPROVED BY Signature:** Original signed by

**NAME:** Arthur F. Obenschain

**TITLE:** Acting Director

requirement in cases of deferment. The supervisor may initiate waiver or deferment requests for employees who are unable to do so themselves. In the event an employee's tenure at GSFC is short-term, the waiver request shall also include documentation of the employee's departure (e.g., retirement paperwork has been submitted to OHCM).

2.2 Eligibility for Waivers. Waivers may be granted to employees if the employee's tenure at GSFC is short-term and his or her departure is imminent (e.g., within three months) and not taking training does not adversely impact job performance. Waivers may also be granted under other circumstances subject to approval by OHCM. Reference section 2.1 for procedures for requesting a waiver or deferment.

2.3 Eligibility for Deferments. Eligibility for deferments for required or mandatory training may be granted in cases where the a) employee is in non-duty status for the duration of the training offerings (e.g., employee is on extended leave such as sick, annual or military leave) b) employee is on a detail and physically located off-site impeding the ability to take an instructor led class. In these cases, the employee is not actually granted a waiver, but the training requirement is postponed or deferred. Upon the employee's return to GSFC, he or she shall complete all required and mandatory training at the next available offering. On-line required and mandatory training shall be completed within 45 business days of returning to GSFC.

### 3.0 Consequences for Failure to Complete Required and/or Mandatory Training

3.1 Employees who have not completed the required and/or mandatory training in the required timeframe and who do not have an approved waiver or deferment for the subject training:

3.1.1 Shall receive a warning letter. (Note: a written reprimand will be the first corrective action in the case of insubordination (a direct refusal to attend training)).

3.1.2 Shall be subject to appropriate progressive disciplinary and adverse actions for multiple instances of insubordination (a direct refusal to attend training) or failure to follow instructions to attend mandatory or required training. Progressive disciplinary/adverse actions may or can include:

- written reprimand
- suspension of up to 14 days



## Goddard Procedural Requirements (GPR)

**DIRECTIVE NO.** GPR 3410.4

**EFFECTIVE DATE:** July 11, 2008

**EXPIRATION DATE:** July 11, 2013

**APPROVED BY Signature:** *Original signed by*

**NAME:** Arthur F. Obenschain

**TITLE:** Acting Director

- suspension of 15 days or more
- removal from the position and the Federal service

3.1.3 Shall be subject to performance-based actions. When failure to attend training results in poor performance, the employee will receive a rating of "Needs Improvement" or "Unacceptable" reflecting such poor performance in accordance with the performance standards. An employee receiving a "Needs Improvement" or "Unacceptable" performance rating is not eligible to receive a performance award. Actions resulting from a "Needs Improvement" rating include a Letter of Counseling and Denial of Within Grade Increase. Actions resulting from an "Unacceptable" rating may include denial of within grade increase, reduction in grade and pay and removal from the position and Federal service. Appropriate related documents will be maintained in the Official Personnel Folder (OPF) and/or the Employee Performance Folder (EPF).

3.1.4 Shall be restricted from performing work activities when required and/or mandatory training is critical to performing duties.

3.2 A supervisor will not receive a rating of higher than Meets in the Supervisory Competencies critical element when direct reports fail to complete required training and the supervisor fails to hold the employee accountable. This does not apply to cases in which the employee has received a waiver from attending training.



## Goddard Procedural Requirements (GPR)

**DIRECTIVE NO.** GPR 3410.4

**EFFECTIVE DATE:** July 11, 2008

**EXPIRATION DATE:** July 11, 2013

**APPROVED BY Signature:** *Original signed by*

**NAME:** Arthur F. Obenschain

**TITLE:** Acting Director

### CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	07/11/08	Initial release